

**Raad voor Accreditatie
(Dutch Accreditation Council
RvA)**

**Specific Accreditation
Protocol for Certification of
Energy Management
Systems**

Document code:

RvA-SAP-C015-UK

Version 2, 03 juni 2014

A Specific Accreditation Protocol (SAP) describes the assessment service for a specific accreditation. It should be read in conjunction with the generic RvA regulations and policy documents.
A current version of the SAP is available through the website of the RvA. (www.rva.nl).

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1 Relevant documents

1.1 Accreditation requirements

- ISO/IEC 17021, Conformity assessment — Requirements for bodies providing audit and certification of management systems
- ISO 50003 (upon publication, currently in DIS)

1.2 Additional documents

IAF documents applicable for accreditation of Energy Management System (EnMS) certification:

- IAF MD 1; Certification of Multiple Sites Based on Sampling
- IAF MD 2; Transfer of Accredited Certification of Management Systems
- IAF MD 4; Use of Computer Assisted Auditing Techniques ("CAAT") for accredited Certification of Management Systems
- IAF MD 5; Duration of QMS and EMS audits (not applicable upon publication of ISO 50003)
- IAF MD 10; Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021:2011
- IAF MD11; Application of ISO/IEC 17021 for Audits of Integrated Management Systems
- IAF MD 12; Assessment of Certification Activities for Cross-Frontier Accreditation (from 4 September 2014)
- IAF ID 1; QMS Scopes of Accreditation

The current version of the documents may be obtained from IAF website (www.iaf.nu).

With respect to the application of IAF MD11, it is noted that ISO 14001 and ISO 50001 have a larger overlap than the combinations of standards foreseen in the IAF guidance document. It could even be argued that an energy management system often is a subset of an environmental management system with extra attention for the energy inventory, an energy efficiency plan and subsequent monitoring thereof. Thus, with respect to the allocation of audit time, the maximum reduction that may be applied can be higher than the guidance of IAF MD11. The CB should develop a policy for these combinations and should make clear that all requirements of both standards have been audited. It is expected that the maximum reductions (applied to the Energy Management System) should not be more than 50% of the situation when an EnMS is audited on its own.

RvA documents applicable for accreditation of Energy Management System certification:

- RvA-T033; Assessment of Schemes for Conformity Assessments

The current version of the documents may be obtained from RvA website (www.rva.nl).

1.3 Certification documents

Certification bodies certify against:

- ISO 50001; Energy management systems – Requirements with guidance for use.

2 Scope of accreditation

The scope of accreditation is defined based on the listing of 39 sectors in IAF-ID1 and on the NACE-codes. RvA shall restrict a scope to specific NACE codes within a sector mentioned in IAF-ID1 in case the CB requests so or in case the assessment in the opinion of the RvA does not allow granting accreditation for a complete sector.

An example of a scope description for ISO 50001 is included in Annex 1.

3 Accreditation assessments

The assessment extent and content depend on the requested scope of accreditation, the other activities for which the body is accredited or requests accreditation and the performance of the body at previous assessments.

3.1 Initial assessments

It is expected that most of the CB's that apply for accreditation of their EnMS certification scheme, already hold an accreditation for their EMS certification scheme. In that case, the initial assessment for this scheme shall include an office assessment and one or more witness assessments.

The office assessment shall focus on the following topics:

- work instructions and guidance documents for EnMS;
- competence requirements for EnMS;
- the availability and qualification process of competent personnel;
- At least 1 client and 1 auditor file per IAF sector requested shall be reviewed completely, unless more than 10 IAF sectors have been requested, in which case sectors may be omitted in the sample.

For the selection of audits to be witnessed the following rules apply:

1. In case accreditation is requested for one of the sectors that potentially hold differing technical areas, (refer to annex 2), a witness will be selected from those sectors. When sectors are selected with more than three different technical areas, the witnesses will be selected from the more complex sectors; witness assessments in the less complex areas may be omitted.
2. Depending on the already accredited scope the RvA may decide to witness specific sectors in addition to rule 1. Also it may be possible to omit witnessing that should be conducted based on rule 1, based on the already accredited scopes. RvA will motivate these deviations.
3. At least 1 of the audits should include both a stage I and a stage II audit. If for scheduling reasons it is not possible to perform these with the same client, the RvA may consider to perform these at separate clients. The auditee for the audit, which will be observed, should, in the opinion of RvA, be a reasonable representation of the requested scope of accreditation.

When the accreditation for the EnMS certification was not preceded by an accreditation for EMS, a full initial assessment against all requirements of ISO/IEC 17021 will be performed (document review, office and witness assessments). Refer to RvA-BR002.

3.2 Surveillance and reassessments

The implementation of the certification system shall be verified during the first surveillance assessment of the RvA. Subsequent surveillances may look at EnMS certification only every other year (as long as the number of certificates is less than 100). The files reviewed during the subsequent surveillances and the reassessment in a four years period shall cover all the technical areas mentioned in annex 2 for which the CB is accredited. The number of files to be reviewed for each assessment is calculated from the number of valid certificates under accreditation (approximately one third of the square root of the number of certificates).

The application of IAF-MD1 (multisite), IAF-MD3 (ASRP) and IAF-MD4 (CAAT) shall be verified at least once during the four years period, when applicable.

For each four year period (surveillances and reassessment), the number of witnesses will be determined based on the following factors:

- 1 for each technical area included in the scope of the CB; or
- 1 per $\sqrt{\text{number of auditors qualified for EnMS certification}}$.

When the second factor gives the higher number of witness assessments, the witness assessments should also be spread over all technical areas. This formula ensures that both a higher diversity in technical areas and a higher number of auditors will increase the number of witness assessments.

3.3 Scope extension

The assessment by RvA in case of an application for an additional scope sector (application with RvA-F105) consists of one or more of the following assessment methods:

1. A review of documents and records;
2. A visit to the office of the CB, to verify documents and records and to interview relevant staff;
3. A witness assessment.

At least the defined requirements for competence in that sector, records of the qualification process of auditors for that sector, and a complete certification dossier in that sector will be verified in a scope extension assessment.

The strategy for the assessment depends on the sector and the already accredited scope. In case accreditation is requested in a sector with new technical areas, these sectors will be witnessed in any case. In case of deviation from this rule, the justification should be documented.

3.4 General remarks on witnessing

At least two weeks before the witnessing the RvA team shall be provided with:

- The manual describing the energy management system of the organization to be audited, or an extended description of the organization (specifying its activities, structure, top level procedures and boundaries of EnMS);
- The output (records/procedures) of the organization to be audited related to their determination of significant energy impacts of the organisation and the energy efficiency plan for the upcoming period;
- The records of the CB's contract review for this organization (including qualification records for the auditors used);
- A copy of the EnMS certificate issued by the CB;
- The report of the CB's pre-assessment or stage 1 assessment of the organization's EnMS (or other latest report) and an audit plan.

In selection of audits to be witnessed RvA will consider besides the industrial sector:

- The RvA will normally not witness the same auditors that have been witnessed in the same scheme before;
- The RvA will normally not witness an audit at the same organization;
- In an accreditation cycle at least one third (with a minimum of 1) of the audits to be witnessed shall be certification or recertification audits.

Witnessing of audits may include the review of the audit reports.

To be able to select the audits to be witnessed the CB shall on request of the RvA provide a planning for the audits to be conducted in a certain period. The information shall include as a minimum:

- type of audit (initial, recertification or surveillance);
- name and address of auditee;
- audit standard(s);
- scope of certification;
- name(s) of auditors(s) and expert(s);
- date(s) of the audit.

4 Specific assessment issues

The RvA shall in particular focus on the following issues during the assessment of CB's for Energy Management System certification:

- Calculation of man days for audits. For each calculation the rationale shall be recorded in the file.
- Management of competence as explained in ISO/IEC 17021, cl. 7 and in line with IAF MD10.

5 Other information

Not applicable.

6 Changes with regard to the previous version

All references to EN 16001 have been removed and references to IAF documents have been up-dated. Reference to RvA-T07 and EA 7/05 was removed. Adjusted to upcoming publication of ISO 50003 (e.g. used as guidance for clustering/scoping approach and witnessing).

Annex 1: Example of RvA Scope

ISO 50001	<p>(SCCM scheme) SCCM Certification system for systems according to ISO 50001, (S184)</p> <p>(other EnMS schemes) Energy management systems according to ISO 50001,</p> <p>Energy management systems for the scopes</p> <p>(reference to EA/IAF-codes and NACE Rev 2):</p>																																																																																																										
	<table border="1"> <thead> <tr> <th>IAF-ID1 number</th> <th>NACE Rev. 2 Division.group</th> <th>Description</th> </tr> </thead> <tbody> <tr><td>1</td><td>01, 02, 03</td><td>Agriculture, forestry and fishing</td></tr> <tr><td>2</td><td>05, 06, 07, 08, 09</td><td>Mining and quarrying</td></tr> <tr><td>3</td><td>10, 11, 12</td><td>Food products, beverages and tobaccos</td></tr> <tr><td>4</td><td>13, 14</td><td>Textiles and textile products</td></tr> <tr><td>5</td><td>15</td><td>Leather and leather products</td></tr> <tr><td>6</td><td>16</td><td>Wood and wood products</td></tr> <tr><td>7 (part)</td><td>17.1</td><td>Pulp and paper</td></tr> <tr><td>7 (part)</td><td>17.2</td><td>Paper products</td></tr> <tr><td>8</td><td>58.1, 59.2</td><td>Publishing of books, periodicals and other publishing activities, Sound recording and music publishing activities</td></tr> <tr><td>9</td><td>18</td><td>Printing companies</td></tr> <tr><td>10</td><td>19</td><td>Manufacture of coke and refined petroleum products</td></tr> <tr><td>11</td><td>24.46</td><td>Nuclear fuel</td></tr> <tr><td>12</td><td>20</td><td>Chemicals, chemical products and fibres</td></tr> <tr><td>13</td><td>21</td><td>Pharmaceuticals</td></tr> <tr><td>14</td><td>22</td><td>Rubber and plastic products</td></tr> <tr><td>15</td><td>23, except 23.5 and 23.6</td><td>Non metallic mineral products</td></tr> <tr><td>16</td><td>23.5, 23.6</td><td>Concrete, cement, lime, plaster, etc</td></tr> <tr><td>17 (part)</td><td>24 except 24.46</td><td>Manufacture of basic metals</td></tr> <tr><td>17 (part)</td><td>25 except 25.4, 33.11</td><td>Manufacture of fabricated metal products, except machinery and equipment</td></tr> <tr><td>18</td><td>24.5, 28, 30.4, 33.12, 33.2</td><td>Machinery and equipment</td></tr> <tr><td>19</td><td>26, 27, 33.13, 33.14, 95.1</td><td>Electrical and optical equipment</td></tr> <tr><td>20</td><td>30.1, 33.15</td><td>Shipbuilding</td></tr> <tr><td>21</td><td>30.3, 33.16</td><td>Aerospace</td></tr> <tr><td>22</td><td>29, 30.2, 30.9, 33.17</td><td>Other transport equipment</td></tr> <tr><td>23</td><td>31, 32, 33.19</td><td>Manufacturing not elsewhere classified</td></tr> <tr><td>24</td><td>38.3</td><td>Recycling</td></tr> <tr><td>25</td><td>35.1</td><td>Electricity supply</td></tr> <tr><td>26</td><td>35.2</td><td>Gas supply</td></tr> <tr><td>27</td><td>35.3, 36</td><td>Water supply</td></tr> <tr><td>28</td><td>41, 42, 43</td><td>Construction</td></tr> <tr><td>29</td><td>45, 46, 47, 95.2</td><td>Wholesale and retail trade; Repair of motor vehicles, motor cycles and personal and household goods</td></tr> <tr><td>30</td><td>55, 56</td><td>Hotels and restaurants</td></tr> <tr><td>31 (part)</td><td>49, 50, 51</td><td>Transport</td></tr> <tr><td>31 (part)</td><td>52, 53, 61</td><td>Storage and communication</td></tr> </tbody> </table>	IAF-ID1 number	NACE Rev. 2 Division.group	Description	1	01, 02, 03	Agriculture, forestry and fishing	2	05, 06, 07, 08, 09	Mining and quarrying	3	10, 11, 12	Food products, beverages and tobaccos	4	13, 14	Textiles and textile products	5	15	Leather and leather products	6	16	Wood and wood products	7 (part)	17.1	Pulp and paper	7 (part)	17.2	Paper products	8	58.1, 59.2	Publishing of books, periodicals and other publishing activities, Sound recording and music publishing activities	9	18	Printing companies	10	19	Manufacture of coke and refined petroleum products	11	24.46	Nuclear fuel	12	20	Chemicals, chemical products and fibres	13	21	Pharmaceuticals	14	22	Rubber and plastic products	15	23, except 23.5 and 23.6	Non metallic mineral products	16	23.5, 23.6	Concrete, cement, lime, plaster, etc	17 (part)	24 except 24.46	Manufacture of basic metals	17 (part)	25 except 25.4, 33.11	Manufacture of fabricated metal products, except machinery and equipment	18	24.5, 28, 30.4, 33.12, 33.2	Machinery and equipment	19	26, 27, 33.13, 33.14, 95.1	Electrical and optical equipment	20	30.1, 33.15	Shipbuilding	21	30.3, 33.16	Aerospace	22	29, 30.2, 30.9, 33.17	Other transport equipment	23	31, 32, 33.19	Manufacturing not elsewhere classified	24	38.3	Recycling	25	35.1	Electricity supply	26	35.2	Gas supply	27	35.3, 36	Water supply	28	41, 42, 43	Construction	29	45, 46, 47, 95.2	Wholesale and retail trade; Repair of motor vehicles, motor cycles and personal and household goods	30	55, 56	Hotels and restaurants	31 (part)	49, 50, 51	Transport	31 (part)	52, 53, 61	Storage and communication	
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32	64, 65, 66, 68, 77	Financial mediation; real estate; renting
33	58.2, 62, 63.1	Information technology
34	71, 72, 74 except 74.2 and 74.3	Engineering services; research and development; other professional, scientific and technical activities
35	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	Other professional services
36	84	Public administration
37	85	Education
38	75, 86, 87, 88 Except 86.1	Health and social work
38	86.1	Hospitals
39 (part)	37, 38.1, 38.2, 39	Sewerage and waste collection treatment and disposal
39 (part)	59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96	Other social services

Annex 2: Scope clusters

IAF-ID1 number	NACE Rev. 2 Division.group	Description	RvA-cluster
1	01, 02, 03	Agriculture, forestry and fishing	H
2	05, 06, 07, 08, 09	Mining and quarrying	C
3	10, 11, 12	Food products, beverages and tobaccos	H
4	13, 14	Textiles and textile products	R
5	15	Leather and leather products	R
6	16	Wood and wood products	R
7 (part)	17.1	Pulp and paper	H
7 (part)	17.2	Paper products	R
8	58.1, 59.2	Publishing of books, periodicals and other publishing activities, Sound recording and music publishing activities	R
9	18	Printing companies	R
10	19	Manufacture of coke and refined petroleum products	C
11	24.46	Nuclear fuel	H
12	20	Chemicals, chemical products and fibres	C
13	21	Pharmaceuticals	H
14	22	Rubber and plastic products	R
15	23, except 23.5 and 23.6	Non metallic mineral products	H
16	23.5, 23.6	Concrete, cement, lime, plaster, etc	H
17 (part)	24 except 24.46	Manufacture of basic metals	C
17 (part)	25 except 25.4, 33.11	Manufacture of fabricated metal products, except machinery and equipment	H
18	24.5, 28, 30.4, 33.12, 33.2	Machinery and equipment	R
19	26, 27, 33.13, 33.14, 95.1	Electrical and optical equipment	R
20	30.1, 33.15	Shipbuilding	H
21	30.3, 33.16	Aerospace	H
22	29, 30.2, 30.9, 33.17	Other transport equipment	H
23	31, 32, 33.19	Manufacturing not elsewhere classified	R
24	38.3	Recycling	R
25	35.1	Electricity supply	C
26	35.2	Gas supply	R
27	35.3, 36	Water supply	R
28	41, 42, 43	Construction	R
29	45, 46, 47, 95.2	Wholesale and retail trade; Repair of motor vehicles, motor cycles and personal and household goods	R
30	55, 56	Hotels and restaurants	R
31 (part)	49, 50, 51	Transport	H
31 (part)	52, 53, 61	Storage and communication	R
32	64, 65, 66, 68, 77	Financial mediation; real estate; renting	R
33	58.2, 62, 63.1	Information technology	R
34	71, 72, 74 except 74.2 and 74.3	Engineering services; research and development; other professional, scientific and technical activities	R
35	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	Other professional services	R
36	84	Public administration	R

IAF-ID1 number	NACE Rev. 2 Division.group	Description	RvA-cluster
37	85	Education	R
38	75, 86, 87, 88 Except 86.1	Health and social work	R
38	86.1	Hospitals	H
39 (part)	37, 38.1, 38.2, 39	Sewerage and waste collection treatment and disposal	R
39 (part)	59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96	Other social services	R

Explanation:

Column 1: Code for a sector as used by IAF in IAF-ID1

Column 2: Specification of the NACE division number for the activities in the sector and where applicable the group number within this division.

Column 3: General description of the economic activities within the sector.

Column 4: Indication of the RvA cluster for the activity based on de following codes:

- C Complex energy users
- D High demand energy users
- R Regular energy users